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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/863,145	05/22/2001	David L. Sames	NA01-00301	1062

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Zilka-Kotab, PC  
P.O. BOX 721120  
SAN JOSE, CA 95172-1120

EXAMINER

NOBAHAR, ABDULHAKIM

ART UNIT PAPER NUMBER

2132

DATE MAILED: 09/16/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/863,145

Applicant(s)

SAMES ET AL.

Examiner

Abdulkhakim Nobahar

Art Unit

2132

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-24 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-24 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) #                      | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)               | Paper No(s)/Mail Date. ____   |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date <u>June 4, 2004</u> #  | 6) <input type="checkbox"/> Other: ____                                     |

## DETAILED ACTION

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) and the Intellectual Property and High Technology Technical Amendments Act of 2002 do not apply when the reference is a U.S. patent resulting directly or indirectly from an international application filed before November 29, 2000. Therefore, the prior art date of the reference is determined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

Claims 1, 2, 5, 6, 8-10, 13, 14, 16-18, 21, 22 and 24 are rejected under 35 U.S.C. 102(e) as being anticipated by Ko et al (6,789,202; hereinafter Ko).

Ko discloses a method and apparatus for providing a policy-driven intrusion detection system for a network of computer systems (abstract; Fig. 1). This system operates by receiving a global policy for intrusion detection that rules based on the security condition for the networked computer system.

Claims 1, 9 and 17

Ko discloses a method and apparatus (corresponding to the recited a mechanism) for:

creating a plurality of security policies, wherein each security policy specifies a level of security for the distributed computing system (see, for example, col. 6, lines 19-24);

distributing the plurality of security policies to each computer in the distributed computing system (see, for example, Fig. 3, step 302);

selecting a specific security policy from the plurality of security policies for use across the distributed computing system (see, for example, col. 2, lines 1-22); and

informing each computer in the distributed computing system to use the specific security policy (see, for example, col. 2, lines 23-37).

Claims 2, 10 and 18

Ko discloses:

wherein the level of security includes a specific security posture (see, for example, col. 2, lines 20-22, where security condition corresponds to the recited security posture).

Claims 5, 13 and 21

Ko discloses:

distributing the plurality of security policies from a computer in the distributed computing system to a subordinate computer (see, for example, col. 3, lines 27-46; col. 6, lines 19-37; Fig. 1).

Claims 6, 14 and 22

Ko discloses:

wherein selecting the specific security policy for use includes selecting the specific security policy based on a security posture (see, for example, col. 6, lines 50-65).

Claims 8, 16 and 24

Ko discloses that many modifications and variations to the invention will be apparent to practitioners skilled in the art (col. 7, lines 23-30). Providing a default security policy to a computer system within a network to be used in case a specific security policy is defective is an option that a skilled person in the art would take into consideration.

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 3-5, 7, 11-13, 15, 19-21 and 23 are rejected under 35 U.S.C. 103(a) as being unpatentable over Ko et al (6,789,202; hereinafter Ko) in view of Moriconi et al (6,158,010; hereinafter Moriconi).

Ko discloses a method and apparatus for providing a policy-driven intrusion detection system for a network of computer systems (abstract; Fig. 1). This system operates by receiving a global policy for intrusion detection that rules based on the security condition for the networked computer system.

Moriconi teaches a system for maintaining security in computer network system by employing a policy manager located on a server for managing and distributing a security policy that controls clients access to securable components (abstract; Figs. 7-9).

Claims 3, 11, 19 and 23

Ko does not expressly disclose:

using secure communications for distributing the plurality of security policies and security posture to each computer in the distributed computing system.

Moriconi teaches the use of encryption technology for secure communication between the security policy manager and the clients (see, for example, col. 1, lines 53-60; col. 2, lines 14-21).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to implement a secure communication for distributing security policies as taught in Moriconi in the system of Ko because it would prevent unauthorized parties from reading the transmitting information (i.e., security policies) (col. 1, lines 55-58).

Claims 4, 12 and 20

Moriconi discloses:

signing each security policy in the plurality of security policies with a cryptographic signature to allow detection of unauthorized changes (see, for example, col. 4, lines 1-6).

Claims 5, 13 and 21

Moriconi discloses:

distributing the plurality of security policies from a computer in the distributed computing system to a subordinate computer (see, for example, col. 4, lines 19-30; Fig. 1; Fig. 4).

Claims 7 and 15

Moriconi discloses:

wherein informing each computer in the distributed computing system to use the specific security policy includes using secure communications for distributing the

security posture indicator to each computer in the distributed computing system (see, for example, col. 1, lines 53-60; col. 2, lines 14-21).

### **Conclusion**

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

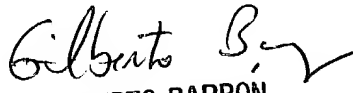
US Patent Application Pub. No. 2001/0021926 A1 to Schneck et al.

US Patent No. 5,870,561 to Jarvis et al.

US Patent No. 5,204,961 to Barlow.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Abdulhakim Nobahar whose telephone number is 703-305-8074. The examiner can normally be reached on M-F 8-5.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron can be reached on 703-305-1830. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

  
GILBERTO BARRON  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100



Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

*A.N.*  
Abdulahkim Nobahar  
Examiner  
Art Unit 2132

AN

September 14, 2004